# STRATEGIC PLAN

for the Department of Pesticide Regulation

Volume 1: An Overview

May 1995 California Environmental Protection Agency



Pete Wilson, Governor

James M. Strock Secretary for Environmental Protection

James W. Wells, Director Department of Pesticide Regulation

#### Editor's Note:

This is an overview of the Department of Pesticide Regulation's (DPR) Strategic Plan. It presents major issues, goals, and strategies that DPR identified during its strategic planning process. The strategies will be complemented and carried out by action items that have been identified by staff and other stakeholders. These action items are in their final stage of development. We invite your suggestions on this concluding phase of strategic planning. The action items, which will incorporate specific responsibilities and measurable results, will complete DPR's first strategic plan.

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## DIRECTOR'S STATEMENT

The Department of Pesticide Regulation (DPR) came into being in 1991 with the establishment of the California Environmental Protection Agency. Although we were created out of a division that had been within the California Department of Food and Agriculture, the process of becoming a department presented us with new opportunities and challenges. DPR has broad authority to regulate pesticides in California and, along with that authority, a responsibility to regulate in a manner that is fair, effective, efficient, and responsive to our various constituencies. This mandate requires practical and productive planning. Realizing this, we wanted to create a blueprint from which to build a dynamic organization committed to environmental protection and with the capacity to anticipate and react to a changing world. Strategic planning gives us that blueprint.

Strategic planning clarifies priorities. With priorities and clear direction, we gain a stable, coherent basis for decision-making. We want to ensure that decisions in our various programs are not made narrowly, that we consider the organization and its stakeholders as a whole, and understand the consequences of our actions. Planning helps make decisions rational and consistent across the organization. It brings focus to our mission and, by clarifying our sense of direction, improves organizational performance and staff morale.

This is an era of ever-increasing demands on government resources. Consumers demand value in what they buy at supermarkets and department stores-and they demand the same value from government for their tax dollars. At the same time, the potential impact of pesticides on the environment continues to be a public concern. Strategic planning both strengthens our program and, by providing a clear view of our goals and priorities, should enhance public trust in the regulatory system.

There are risks involved in the strategic planning process—risks to our comfort and to our established procedures. We asked our stakeholders for their candid, careful appraisal and we have been challenged by some of their responses. The process has also exerted extensive demands on DPR management and staff. Many hours of thinking, talking, and institutional soul-searching have been committed by scores of individuals, working for a common purpose. The investment of time from those inside and outside the organization must have a payoff. This document proves we succeeded in laying the groundwork for that payoff. However, only our actions in the months and years ahead can tell us the full outcome. I think the result is a good plan so far.

Now comes the hard work. The plan cannot be called a success unless every person in the organization can develop their job activity in relationship to our mission and strategic issues. We have got a lot of learning to do. We must all learn how to relate what we do to where we are going, and how we are going to get there. The process and the plan will be dynamic, evolving as we evolve. We will pause periodically and assess our progress. We encourage continuing input from all of our constituents along the way. This plan provides strong beacons and measurable guideposts. It's up to us to make every step of the way count.

James W. Wells

Jim Well

Director

## **OUR PROCESS**

As a newly formed Department within Cal/EPA, we felt it imperative to embark on a comprehensive strategic planning effort. After internal discussions in the summer of 1993, we hired a consulting firm in November to facilitate development of our strategic plan.

As in any strategic planning effort, we started with the identification of our internal and external stakeholders. When this exercise (in itself a good learning experience) was completed, we started on the first phase of plan development. All Department employees were surveyed, including headquarters and field staff. At the same time, our external stakeholders, ranging from public advocates to the chemical industry (see Appendix 1) were canvassed. The purpose of the survey was to conduct a SWOT analysis, that is, to determine the Department's Strengths, Weaknesses, Opportunities, and Threats.

In February 1994, our Management Team (see Appendix 2) kicked off the second phase. At this two-day session in Fresno, we participated in team building exercises and discussed summaries of the external and internal stakeholder surveys and the SWOT analysis. Certainly, this feedback was not consistently flattering, but it was vital to developing drafts of the Department mission statement, values, and a number of strategic issues.

It was important to us that all DPR staff continued to be involved in the process. Therefore, we shared the survey results and analyses with headquarters and field staffs. The results of the internal survey were further analyzed and the weaknesses identified by staff were classified as "operational" and/or "strategic." Operational issues were referred to a specially formed committee made up of a representative cross-section of staff from various disciplines (see Appendix 3). They were asked to formulate recommendations on how best to address the concerns.

The next phase was to seek feedback on how well the Management Team reflected stakeholder concerns in the draft mission statement and strategic issues. The drafts were circulated for comment to Department staff and the county agricultural commissioners. External stakeholders were again invited to participate in focus groups at one of three facilitated sessions.

At this point, the Management Team began meeting twice a month in half-day sessions. In these sessions, the mission statement and values were revised utilizing feedback received from all stakeholders. The strategic issues were solidified and the team developed goals to help shape the strategy for addressing the issues. Moreover, selected staff, after training by the consultants, facilitated focus groups within our branches to develop our strategies. We welcomed many participants into this process (see Appendix 4).

In late September, the commissioners attending their Board of Directors' meeting provided comment on the revised draft of the mission and values. Then in October, at five regional meetings, our Department facilitators solicited comments from a cross- section of commissioners' staff. The results were incorporated into the plan and presented to the commissioners at their Winter Conference.

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Recently, our Management Team reached consensus on this, our Department's first strategic planning effort. A wealth of new ideas from internal and external stakeholders is being prioritized as "action items" in our internal implementation process.

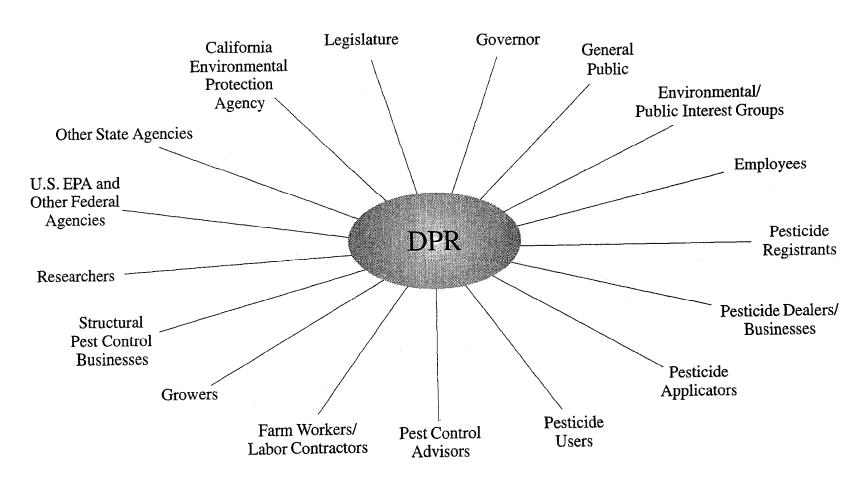
Strategic planning has been carried out in the private sector for decades, but is relatively new to government organizations. Since I have now had the benefit of coordinating the strategic planning process in both the private and public sectors, I can see that there are similarities, of course, and differences. Even though strategic planning takes a little longer to accomplish in the public sector, the rewards are worth it. It was gratifying to see the staff's sincerity and management's growth as a team throughout this process. Our plan encompasses the views of a broad spectrum of individuals inside and outside the Department. We feel that our plan strikes a fruitful balance of the many ideas. And it is with great pleasure that I thank our many stakeholders for their time, effort, and at times very vocal discussions, to help make this strategic planning effort so successful.

Elin D. Miller

**Chief Deputy Director** 

Elin D. Willes

### Department of Pesticide Regulation Stakeholders





Mandates,
Primary Responsibilities,
and Organizational Chart

# **MANDATES**

The Department's legal mandates require it to:

- Provide for the proper, safe, and efficient use of pesticides essential for production of food and fiber and for protection of the public health and safety.
- Protect the environment from environmentally harmful pesticides by prohibiting, regulating, or controlling uses of such pesticides.
- Assure the agricultural and pest control workers of safe working conditions where pesticides are present
- Permit agricultural pest control by competent and responsible licensees and permittees under strict control of the Director and county agricultural commissioners.
- Assure the users that economic poisons are properly labeled and are appropriate for the use designated by the label.
- Encourage the development and implementation of pest manage, ment systems, stressing application of biological and cultural pest control techniques with selective pesticides when necessary to achieve acceptable levels of control with the least possible harm to nontarget organisms and the environment+

### PRIMARY RESPONSIBILITIES

The Department has primary responsibility for evaluating and mitigating environmental and human health impacts of pesticide use. It oversees pesticide registration, the safety of the pesticide workplace, and enforces State and federal pesticide laws.

Department objectives are carried out through programs in six branches: Pesticide Registration, Medical Toxicology, Worker Health and Safety, Pesticide Enforcement, Environmental Monitoring and Pest Management, and Information Systems.

#### **EVALUATING AND REGISTERING PESTICIDES**

Before a pesticide can be sold or used in California, it has to be evaluated and registered by DPR. Pesticide manufacturers are required to submit studies of toxicology, efficacy, phytotoxicity, environmental fate, product chemistry, and residue methodology to support the registration of each product. The elaborate testing data are evaluated by DPR scientists, including biologists, chemists, plant physiologists, entomologists, toxicologists, and physicians. The evaluation and scrutiny focus on the acceptability of studies, any potential for these substances to cause adverse health or environmental effects, and the efficacy of the product, in order to ensure the proper, safe, and efficient use of pesticides.

These and other data are the basis for determining potential risk and adequate margins of safety for workers and others who may be exposed to pesticide residues. DPR scientists work closely with other State agencies, including the departments of Fish and Game and Health Services, as well as agencies within Cal/EPA.

#### PROTECTING WORKERS AND THE PUBLIC

DPR scientists evaluate potential workplace hazards of pesticides, by reviewing studies on active-and inert ingredients in pesticide products and on application methodologies. In addition, the Department conducts field studies each year to monitor pesticide exposure to workers in order to develop better methods to evaluate exposure potential and to mitigate potentially excessive exposure. DPR physicians also provide medical advice, assistance on pesticide exposures, and act as liaison with practicing physicians regarding pesticide illness and treatment. The Department also participates in and evaluates the results of investigations of pesticide-related illnesses, with an emphasis on preventing occupational illnesses and injuries.

#### **ENVIRONMENTAL PROTECTION AND PEST MANAGEMENT ALTERNATIVES**

DPR scientists monitor the environmental fate of pesticides, and identify and analyze chemical, cultural, and biological alternatives for managing pests. In doing so, DPR's goal is to protect the public and the environment from pesticide contamination through hazard identification, preventive planning, and the enhancement of regulatory controls through encouraging development and use of pest control practices that are both environmentally sound and effective.

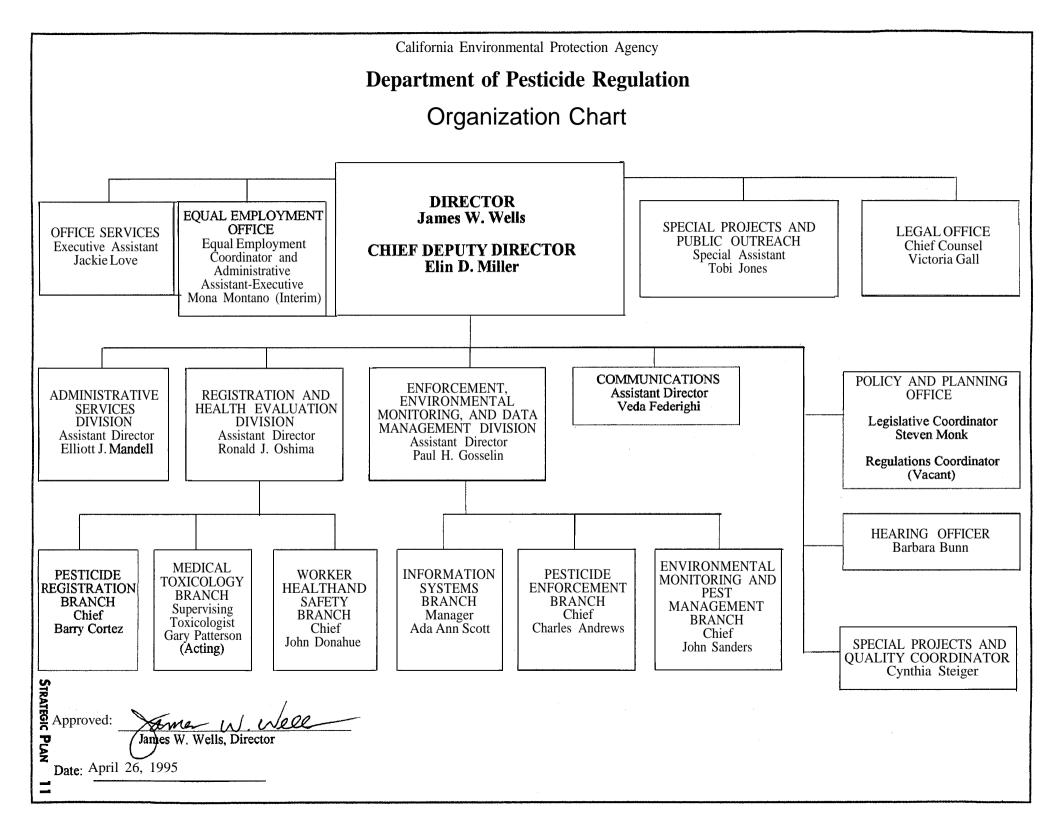
#### **ENFORCING PESTICIDE LAWS**

To assure compliance with the nation's toughest pesticide laws, California has the largest and best-trained enforcement organization in the nation. DPR oversees licensing and certification of dealers, pest control advisors, pest control businesses, brokers and applicators; has overall responsibility for pesticide incident investigations; administers the nation's largest state pesticide residue monitoring program; monitors pesticide product quality; and coordinates pesticide use reporting.

Pesticide use enforcement activities in the field are largely carried out by the county agricultural commissioners and their staffs. Training, coordination, oversight, and technical and legal support are provided by headquarters personnel, as well as DPR field staff in Anaheim, Fresno, Richmond, Sacramento, Goleta, and Watsonville.

### **PEST MANAGEMENT STRATEGY**

DPR has developed a strategy aimed at: 1) increasing the use of pest management information in decision making, and 2) encouraging pesticide users to adopt reduced risk pest management practices. The Pest Management Strategy addresses minimizing risk not only on the farm, but wherever pesticides may be used, including areas such as office buildings, schools, urban landscapes, or in the home.



# VISION, VALUES AND MISSION

# **VISION**

It is our goal that:

The Department of Pesticide Regulation is viewed as a dynamic organization administering a credible and comprehensive program that is protective of human health and the environment and responsive to all constituencies.

### **VALUES**

We pledge our commitment to protecting the public health and the environment.

We pledge our commitment to continually strive for the finest pesticide regulatory program in the world.

We recognize the need to be forward thinking in identifying and resolving pesticide issues.

We believe in developing and applying innovative approaches and processes to our activities.

Our statements and actions will reflect our honest beliefs.

Our decision-making will be timely, open, consistent, equitable, and adhere to the Department's mission.

Our decisions and rationale will be communicated in a clear and consistent manner.

We believe that to encourage and facilitate the professional growth of staff will enable us to be the finest pesticide regulatory program in the world.

We believe that expecting achievement and acknowledging superior performance leads to excellence in all processes.

We believe the strength of our program lies in our people and pledge our commitment to an effective partnership between staff and management.

# **MISSION**

The Department of Pesticide Regulation (DPR) has the primary responsibility for regulating all aspects of pesticide sales and use to protect the public health and the environment.

DPR's mission is to evaluate and mitigate impacts of pesticide use, maintain the safety of the pesticide workplace, ensure product *effectiveness*, and encourage the development and use of reduced risk pest control practices while recognizing the need for pest *management* in a healthy economy.

# STRATEGIC ISSUES, GOALS AND STRATEGIES

# Issue 1: How can DPR anticipate change and provide leadership?

Goal 1: Institutionalize a long-range, dynamic planning process,

### **Strategy:**

1.1 Develop an ongoing planning process that will allow for a continuous evaluation of existing and emerging issues,

**Goal 2:** Make effective use of DPR's internal and external committees.

#### **Strategy:**

2.1 Involve committee members in both the review of trends and the formulation of recommendations for the Director.

**Goal** 3: Utilize, more effectively, existing data and mechanisms for data collection in planning and decision making.

Goal 4: Maximize the use of emerging technologies and scientific knowledge+

### **Strategies:**

- 4.1 Provide the resources and training necessary for the evaluation of pertinent new technology.
- 4.2 Utilize new technologies and scientific knowledge appropriately.

**Goal** 5: Maintain and/or develop strategic relationships with key local, state, national, and international organizations.

- 5.1 Identify and develop key relationships with strategic partners and organizations,
- 5.2 Strengthen existing networks with university research departments and agricultural extensions.

#### Issue 2:

### How can DPR encourage the development and adoption of pest management practices that reduce the overall risk to human health and the environment from the use of pesticides?

**Goal** 1: Incorporate a reduced risk pest management philosophy throughout the California pesticide regulatory program.

### **Strategies:**

- 1.1 Communicate the meaning and intent of a reduced risk pest management philosophy to DPR and county agricultural commissioner employees.
- 1.2 Identify DPR functions and work processes to show where and how pest management considerations will be emphasized in the pesticide regulatory program.
- 1.3 For each function, develop guidance to explain how pest management considerations are to be evaluated and used in help4 ing to reduce overall risk.
- 1.4 Evaluate how increasing the emphasis on reduced risk pest management would affect the pesticide regulatory program.

**Goal** 2: Advocate and facilitate the adoption of economically viable reduced risk pest management practices.

- 2.1 Develop appropriate criteria and identify higher risk use patterns that could be targeted for evaluation and application of reduced risk pest management practices.
- 2.2 Identify, evaluate, and eliminate impediments to the adoption of reduced risk pest management practices.
- 2.3 Identify, evaluate, and create incentives for the adoption of reduced risk pest management practices.

### **Issue 2:**

- 2.4 Develop a program to support the voluntary adoption of reduced risk pest management practices.
- 2.5 Use DPR regulatory authority, as appropriate, to facilitate the adoption of reduced risk pest management practices.
- 2.6 Support and recommend legislation that would facilitate the adoption of reduced risk pest management practices.
- **Goal 3**: Provide leadership in working cooperatively with other interested parties to promote research, education, and demonstration of reduced risk pest management practices.

### **Strategies:**

- 3.1 Consult with a broad cross section of interested groups and individuals for advice on appropriate priorities and activities.
- 3.2 Coordinate the goals and activities of key organizations and establish partnerships aimed at facilitating the adoption of reduced risk pest management practices.
- 3.3 Encourage other state and local government agencies to adopt reduced risk pest management practices.
- **Goal 4:** Evaluate the effectiveness of DPR's efforts to facilitate the adoption of reduced risk pest management practices.

- 4.1 Develop indicators to help DPR measure its progress in facilitating the adoption of reduced risk pest management practices.
- 4.2 Develop and regularly update a reduced risk pest management workplan that identifies DPR's key goals and activities.
- 4.3 Evaluate and report every three years the progress made in the adoption of reduced risk pest management practices.

# Issue 3: How can DPR establish priorities and effectively utilize resources?

Goal 1: Set priorities consistent with DPR's mission and goals.

### **Strategies:**

- 1.1 Develop a process to establish priorities that involves internal/external stakeholders.
- 1.2 Minimize crisis management through adherence to established priorities.
- 1.3 Evaluate DPR's adherence to its priorities on an annual basis.

Goal 2: Allocate resources according to established priorities.

- 2.1 Review mandated requirements and evaluate their appropriateness in the current environment.
- 2.2 Evaluate the current use of DPR resources and work efforts in relation to established Department priorities.
- 2.3 Evaluate DPR's current organizational structure to determine if it effectively supports Department priorities and goals.
- 2.4 Develop plans within each branch to ensure consistency with departmental priorities.
- 2.5 Incorporate the strategic plan priorities into the performance management system.

### Issue 4:

# How can DPR effectively communicate with its external stakeholders?

Goal 1: Improve public outreach and education efforts.

### **Strategies:**

- 1.1 Characterize the information needs and interests of DPR's external stakeholders.
- 1.2 Develop an integrated communications plan.
- 1.3 Utilize information technology capabilities more effectively.
- 1.4 Regularly evaluate the effectiveness of DPR's external communication efforts.

Goal 2: Strengthen DPR's internal communication capabilities.

- 2.1 Strengthen the communication skills of management and staff.
- 2.2 Establish a public information infrastructure within DPR.

### **Issue 5:**

How can pesticide regulatory programs be implemented in a manner that recognizes that environmental protection and economic health are complementary goals?

**Goal 1:** Formalize the process by which environmental and economic impact is considered in our decision-making processes.

- 1.1 Develop standard procedures for evaluating impacts.
- 1.2 Establish a process for two-way communication with external stakeholders regarding impact analyses.
- 1.3 Incorporate the environmental and economic impact analysis into the regulatory decision-making process.

# How can DPR enhance its management practices to improve employee satisfaction and ensure organizational effectiveness?

Goal **1:** Clarify the roles and responsibilities of management and staff and delegate decision-making authority to the lowest appropriate level.

### **Strategies:**

- 1.1 Provide a forum for management and staff to discuss delegated decision-making authority.
- 1.2 Develop a mechanism to clarify the difference between scientific and policy decisions and specify the roles and responsibilities of management and staff.
- 1.3 Clarify goals and specify decision-making authority to empower committees, workgroups, and teams.
- 1.4 Develop management guidelines to use in the delegation of authority and empowering of staff.
- **Goal 2:** Strengthen communication channels.

### Strategies:

- 2.1 Improve DPR's internal communication capabilities.
- 2.2 Improve the process for planning and conducting meetings.
- 2.3 Develop more effective methods for incorporating staff input, including technical review, in the policy development process.
- **Goal 3:** Encourage the use and assure proper maintenance and updating of personnel development tools.

### **Strategies:**

3.1 Establish training as a high priority throughout the Department.

### **Issue 6:**

- 3.2 Utilize the performance appraisal process to assure the continuing commitment of management to staff development.
- 3.3 Implement a "Quality Government Program" throughout the Department.
- Goal 4: Continually strive for equity in classification, assignments, pay, promotions, and physical environment.

### **Strategies:**

- 4.1 Continuously evaluate classifications, including those used for bridging, to determine appropriateness and if new ones are needed.
- 4.2 Ensure that employees are performing tasks appropriate to their respective job classifications.
- 4.3 Emphasize performance appraisals for all staff.
- 4.4 Maintain up-to-date duty statements and assure their accessibility.
- 4.5 Establish appropriate performance measures for all staff.
- 4.6 Provide an effective workplace for staff.
- **Goal** 5 : Foster and recognize excellence.

### **Strategy:**

5.1 Review existing and identify new methods for recognizing excellence.

### **Issue 6:**

# How can DPR enhance its management practices to improve employee satisfaction and ensure organizational effectiveness?

**Goal** 6: Integrate effective management practices into DPR's daily routine to improve organizational efficiency.

- 6.1 Incorporate the goals and priorities of the strategic plan into DPR's day- to-day practice.
- 6.2 Clarify project objectives and provide staff with guidance and support throughout the life of the project.
- 6.3 Continue the strategic planning process to implement the action items throughout the Department.

### **Issue 7:**

### How can DPR improve its financial stability?

**Goal** 1: Assess DPR's current funding sources and determine what adjustments may be appropriate.

### **Strategies:**

- 1.1 Analyze current funding and DPR's continued access to those funds.
- 1.2 Conduct ongoing and periodic evaluations to determine trends in current fund sources.
- 1.3 Redirect funds and resources based on the analyses.
- 1.4 Develop contingency plans to address fluctuations in funding.

### **Goal 2:** Explore alternative funding sources.

### Strategies:

- 2.1 Identify alternative funding sources.
- 2.2 Analyze the feasibility and appropriateness of obtaining new funds.

### **Goal 3**: Ensure programmatic accountability.

- 3.1 Prepare reports on accomplishments, strengths, goals, program needs, and funding status and distribute to internal and external stakeholders.
- 3.2 Formalize a process to provide for external stakeholder review of program priorities.

# **A**PPENDICES

Process Participants

### External Stakeholders

Alan Abramson

Field Operations Division, U.S. EPA

Niels C. Andrews

National Agricultural Aviation Association

Howard Bamett Hughson Chemical

John Braly

California Cattlemen's Association

for Assemblyman James Brulte

Bishop Bastien

Doug Campt

Office of Pesticide Programs, U.S. EPA

Frank Ciofalo

Occupational Safety and Health Administration and

**Technical Services** 

Ronald Cisney

Olocco Ag Service

Art Coe

San Diego Regional Water Quality Control Board

Jim Conley

California Industrial Biotechnology Association

Peter Cooey

Assembly Committee on Agriculture

Stephanie Costantakos

North Coast Regional Water Quality Control Board

Joe F. Cotta

Laton Co-Op Gin

Bill Crooks

Central Valley Water Quality Control Board

Dan Cummings

Agricultural Council of California

**Bob Curtis** 

Campbell Soup Company

Jennifer Curtis

Natural Resources Defense Council

Jim Davis

Rohm and Haas Company

Merlin Fagan

California Farm Bureau Federation

Bob Falconer

California Association of Nurserymen

Steve Forsberg

Western Agricultural Chemicals Association

Bob Franzoia

Senate Appropriations

Nancy Frost

Air and Toxics Division, Region IX, U.S. EPA

for Bob Ghirelli

Philip Gruenberg

Colorado River Water Quality Control Board

Brad Gilbert

Riverside County Health Department

Kathy Goforth

Pesticides Programs Development Section, Region IX,

US. EPA

George J. Gomes

California Farm Bureau Federation

George Gowgani, Ph.D.

Crop Science Department, California Polytechnical Institute, San Luis Obispo

Charles Green

South Lake Tahoe Regional Water Quality Control Board

Bill Grigg

California League of Food Processors

Mary Grisier

California Pesticide Projects, Region IX, U.S. EPA

Fred Harris

Senate Committee on Budget and Fiscal Review

Jasper Hemple

Western Growers Association

Gary Hester

California Farm Bureau Federation

for Paul Jepperson

Philip Jacobs

Los Angeles County Toxics Epidemiology Program

for Senator Patrick Johnson

Ross Sargent

Scott Johnson

Wilbur Ellis

Steve Johnson

Registration Division, Office of Pesticide Programs,

U.S. EPA

for Assemblyman Bill Jones

Vickie Glaser

Vernon Jones

San Diego Regional Water Quality Control Board

Lauma Jurkezics

Los Angeles Regional Water Quality Control Board

Dennis Kelly

Ciba-Geigy

Carl Kohnert

Air & Toxics Division, U.S. EPA

Ben Kor

North Coast Regional Water Quality Control Board

Paul Kronenburg

Chemical Industry Council of California

Harry Krug

California Air Pollution Control Officers Association

Bill Leonard

Central Coast Water Quality Control Board

Vemard R. Lewis, Ph.D.

Urban Pest Control Alternatives, University of

California, Berkeley

Burt MacClay

Association of Natural Biocontrol Producers

Monica Moore

Pesticide Action Network

John Munro

Pest Control Operators of California

Byron Nelson

Frontier Agricultural Services

Laurie E. Nelson

Randlett and Associates

Loren Oki

California Association of Nurserymen

Robert Olson

California Agricultural Aircraft Association

Jimmy Pankratz

Farm Air

Dr. Paul Papanek

California Conference of Local Health Officers

Mike Paparian

Sierra Club

Eric R. Paulsen

Pest Control Operators of California

Frank Plescia

Monsanto

Steven Ritchie

San Francisco Bay Regional Water Quality Control Board

Erika Rosenthal

Pesticide Action Network

Karen Barrett Ross

Agricultural Council of California

George Rutherford

**Health Prevention Services** 

Marc Schenker

Agricultural Health & Safety Center, University of

California, Davis

Chuck Shulock

California Environmental Protection Agency

Jerry Siebert

Cooperative Extension, University of California, Berkeley

Harold Singer

South Lake Tahoe Regional Water Quality Control Board

Russ Stocker

Pesticide Applicators Professional Association

Larry Taber

California League of Food Processors

Kathy Taylor

Air and Toxics Division, Region IX, U.S. EPA

Gerard Thibeault

Santa Ana Regional Water Quality Control Board

William J. Thomas, Esq.

Law Office of William J. Thomas

John Van Hoosere

Able Exterminators

Stan Van Vleck

Kahn, Soares and Conway

Henry J. Voss

California Department of Food and Agriculture

Bob Washino

Center for Pest Management Research and Extension,

University of California, Davis

Susan Wayland

Office of Prevention, Pesticides and Toxic Substances,

US. EPA

Artie Williams

Certification and Training Branch, U.S. EPA

Herman Wilson

Western Farm Service

The names of those stakeholders completing written surveys da not appear here as they were assured anonymity.

32 STRATEGIC PLAN

### Management Team

James W. Wells, Director

Elin Miller, Chief Deputy Director

Ron Oshima, Assistant Director Registration and Health Evaluation Division

Paul Gosselin, Assistant Director Enforcement, Environmental Monitoring, and Data Management Division

Vicki Gall, Chief Counsel

Veda Federighi, Assistant Director Communications

Tobi Jones, Special Assistant Special Projects and Public Outreach

Elliott Mandell, Assistant Director Administrative Services

Chuck Andrews, Chief Pesticide Enforcement Branch

Barry Cortez, Chief Pesticide Registration Branch

John Donahue, Chief Worker Health and Safety Branch

John Sanders, Chief Environmental Monitoring and Pest Management Branch Ada Ann Scott, Chief Information Systems Branch

Jay Schreider, Primary State Toxicologist Medical Toxicology Branch

Steve Monk, Legislative Coordinator

Davis Bernstein, Branch Chief Pesticide Program, U.S. EPA (Exchange Program)

James Harnett, Orange County Agricultural
Commissioner
Representing: California Agricultural Commissioners and
Sealers Association

Robert Wynn, Director, Division of Inspection Services Representing: California Department of Food and Agriculture

Team Coordinator: Barbara Bunn

Consultants, The Resources Company: Farnum Alston Laurie Thornton Jerry Bowers Julio Massad

### **Operational Issues Committee**

John Sanders, Chairman

Cheryl Langley, Coordinator

Vera Bennett Executive Office

Adrian Bradley

Environmental Monitoring and Pest Management

Sue Edmiston

Worker Health and Safety

Ricardo Martinez
Pesticide Enforcement

Oleta Melnicoe

Pesticide Registration

Shirley Paguerigan Information Systems

Lisa Ross

Environmental Monitoring and Pest Management

Roy Rutz

Worker Health and Safety

Jim Sanbom

Worker Health and Safety

Duane Schnabel
Pesticide Registration

Cheryl Scott

**PesticideEnforcement** 

Jim Shattuck

PesticideEnforcement

Marilyn Silva Medical Toxicology

Becki Weber Medical Toxicology

Muffet Wilkerson Information Systems

Mark Wilson

**Administrative Services** 

# Internal Stakeholders Participants in Strategy Development

### Administration

Facilitators: Jean Walker, Coordinator

AngelaLew

Stacie Abbott
Rose Archer
Toni Boyer
Mel Hansen
Angela Lew

Mitzi Spatz Gary Spolarich

Sally Vigren
Jean Walker

### Information Sys terns Brunch

Facilitators: Cynthia Steiger, Coordinator

Kathy Newland Chuck Onitsuka

Sharon Ates
Jacquie Bell
Kimberly Doumit
Beverly Martin
Kathy Newland
Chuck Onitsuka

Rob Sing Cynthia Steiger Khoa Tran

Alicia Vargas Joel Wiley

Muffet Wilkerson

### Medical Toxicology

Facilitators/Coordinators: Andy Rubin

Poomi Iyer

Charles Aldous Charlie Miller Wes Carr Tom Moore Roger Cochran **Stanton Morris** Carolyn Rech Derek Gammon Ruby Reed Poorni Iyer Stephen Rinkus Thomas Kellner Andy Rubin Peter Leung Carolyn Lewis Marilyn Silva Lori Lim

### Worker Health and Safety

Facilitators: James Sanbom, Coordinator

Sally Powell

Cathy Cowan Susan Edmiston Joshua Johnson Louise Mehler M. Kathy Orr

Sally Powell

James Sanborn Janet Spencer

David Haskell Roy Rutz

Angelica Welsh

### Pesticide Enforcement

Facilitators: Mona Montano, Coordinator Roberta Firoved

Larry CattonSteve McLeanDenise EnosMona MontanoRoberta FirovedJahan MotakefSusan HopkinsLisa QuagliaroliFrancisco LujanoTanya Ray

### Pes tide Regis tration

Facilitators: Regina Sarracino, Coordinator Eileen Mahoney-Arechiga Ralph Shields

Eileen Arechiga	Oleta Melnicoe
Richard Ayala	Amos Nugent
Jerry Campbell	Ann Prichard
Van Cheney	Rosie Rein
Julie C'obbs	<b>Bob Rollins</b>
Barry Cortez	Howard Sallee
Carol Cummins	Regina Sarracino
George Farnsworth	Duane Schnabel
Linda Fernandez	Arun Sen
Fely Frank	Ralph Shields
James Herota	Joe Vandepeute
Chizuko Kawamoto	

# Environmental Monitoring and Pest Management

Facilitators: David Supkoff, Coordinator
Bob Elliott
Bruce Johnson

Bruce Johnson Terri Barry Adolf Braun Yihua Lin Joe Marade Kathy Brunetti Marianne Chick Kaylynn Newhart **Nita** Davidson Mark Pepple Sharon Dobbins Lisa Ross John Sanders David Duncan Robert Elliott Roger Sava Bill Fabre David Supkoff John Troiano Kean Goh Pam Wales Nan Gorder Lyn Hawkins Don Weaver Bob Hobza Larry Wilhoit Pam Wofford Charlie Hunter